



ENERGY AND ENVIRONMENT CABINET

**DEPARTMENT FOR ENVIRONMENTAL PROTECTION
DIVISION OF WASTE MANAGEMENT
200 FAIR OAKS, 2ND FLOOR
FRANKFORT, KY 40601
TELEPHONE NUMBER (502) 564-6716**

**Registration for a
Registered Permit-By-Rule
Solid Waste Transfer Station
or Convenience Center
Form DEP 7059 (5/09)**

This registration shall become effective five (5) business days after the cabinet receives it, with the exception of medical waste transfer stations which becomes effective thirty (30) days after receipt, unless the cabinet denies the registration within that time.

GENERAL INSTRUCTIONS:

1. **APPLICABILITY** – This form must be complete and submitted to the Cabinet by persons requesting the issuance, renewal or transfer of a permit for a solid waste management facility pursuant to KRS 224.40-330.
2. **ASSISTANCE** – Questions regarding this form may be directed in writing to the Division of Waste Management, Solid Waste Branch at the address listed above or by calling (502) 564-6716.

3. **SUBMISSION** – Submit the original of the completed Disclosure Statement form to the Division of Waste Management at the address listed above. If an item is not applicable, check the appropriate box or write “N/A” in the space provided. Please type or print legibly in permanent ink.
4. **FEES - Applicants must submit the appropriate filing fee at the time of application submittal in accordance with 401 KAR 47:090, Section 2(6)(a).**
5. **LAWS AND REGULATIONS** – Applicants are expected to understand and comply with all laws and regulations applicable to the facility.

Statutes and regulations may be viewed online at the following website address: <http://www.lrc.ky.gov/search.htm>

Solid waste forms are available at the following website address: <http://www.waste.ky.gov/forms/>

To assist you in the submittal of a complete and accurate registration, the Division has identified the most common errors made in the review process. These errors are listed below for your convenience.

- 1. Failure to complete the registration. All maps, attachments, and supplemental data must be submitted with this registration.**
- 2. Failure to properly sign and notarize the registration. An individual with signature authority for the applicant as defined by KRS 224.01-010(44) and 401 KAR 47:160 must sign and notarize the appropriate signature sections of the registration.**
- 3. Failure to provide appropriate and properly completed attachments. Maps, drawings, narratives or any attachments that lack sufficient detail may cause delays in the review and approval of the registration.**
- 4. Failure to provide the appropriate fee. See 401 KAR 47:090, Section 2. (6)(a).**



Application for a Registered Permit-By-Rule Transfer Station or Convenience Center

Applicant Information

1. ☐ New Application

2. ☐ Modification to an existing application
(Complete items #3 and #4 if this is an existing permit)

3. Agency Interest #:

4. Permit #: -

3. Fee submitted: \$.

4. Check or Money Order #:

5. Method of payment:

☐

Check

☐

Money Order

☐

Cash

☐

Exempt (Publicly Owned Facility)

RENUMBER

5. Facility Type (indicate all that apply)

☐ Convenience Center

☐ Transfer Station

☐ Medical Waste Transfer Station

☐ Collection

☐ Recycling Center

☐ Processing

☐ Broker

6. Permittee Name:

(This refers to the corporation, LLC, business, person, government agency, etc., that owns or operates the facility.)

7. Permittee Mailing Address:

8. City:

9. State:

10. Zip Code:

11. Contact Person:

12. Title:

13. E-Mail Address:

14. Phone #: () -

15. Cell #: () -

16. Fax #: () -



Facility Information**17. Facility Name:****18. County:****19. Facility Location:**

(Provide the street or physical location. Do not use P. O. Box #'s, etc.)

20. City:**21. Zip Code:****22. Facility Contact:****23. Title:****24. E-Mail Address:****25. Phone #:** () - **26. Fax #:** () - **27. Cell #:** () -**Preparer Information**

(Complete items 28 – 37 if the following information concerning the person preparing this application is different from the contact persons named in items 11 and 22.)

28. Preparers Name:**29. Company:****30. Mailing Address:****31. City:****32. State:** **33. Zip Code:****34. E-mail Address:****35. Phone #:** () - **36. Fax #:** () - **37. Cell #:** () -**38. What community is nearest to the proposed facility?****39. What highway intersection is nearest to the proposed facility?****40. What stream is nearest to the proposed facility?****41. What is the estimated daily and annual amount of waste that will be composted at the facility?**

` DAILY: Cubic Yards Tons

ANNUAL: Cubic Yards

Tons

- 42.** For transfer stations, what disposal site will accept the waste from this facility? For recycling centers and convenience centers, what disposal site will accept the non-recyclable waste from this facility?

Facility Name	Permit Number	State
	-	
	-	
	-	
	-	

- 43.** List all anticipated sources of waste by county and state and estimate the monthly tonnage to be managed. If there are more than three (3) waste sources, provide the additional information and Label as **Attachment 1**. If accepting waste from an entire state, write the state name in the space provided.

Source of Waste (County and State)	Monthly Quantity (Tons)

- 44.** Describe, in detail, the following: the equipment to be used, operating hours, number of personnel onsite daily, provisions for temporary storage, and the contingency plans for emergencies such as fire, spills, and equipment failure, etc.

Label as **Attachment 2**.

- 45.** Include one (1) current, original U.S.G.S. 7.5 minute topographic map with the original and each copy of the application. Clearly mark the location of the facility and property boundaries. Do not send aerial photographs in lieu of topographic maps.

Label as **Attachment 3**.

- 46.** Submit a site plan drawing showing all buildings, roads, property boundaries, fences, etc. Include a North arrow. The site plan may be hand-drawn.

Label as **Attachment 4**.

- 47.** Indicate the appropriate legal organizational structure of the registrant:

- ☐ Proprietorship
☐ Corporation
☐ Partnership General
☐ Joint Venture
☐ Partnership Limited

☐ Governmental Agency

☐ Other (describe)

48. Provide a notarized true and exact copy of the document which establishes the legal structure of the registrant and label as **Attachment 5** and check the box that applies.

☐ Partnership agreement (partnership)

☐ Certificate of Incorporation from the Kentucky Secretary of State (in-state corporation)

☐ Certificate of Authority to transact business in Kentucky (out-of-state corporation)

☐ Not Applicable (if the registrant is a sole proprietor or government entity)

49. If the registrant is a corporation, limited partnership, or general partnership operating under an assumed name, submit a copy of the approved Certificate of Assumed Name as provided by the Secretary of State. Label as **Attachment 6**.

If not applicable, check here ☐.

50. If a corporation, identify the resident agent in Kentucky for service of process.

Name

Title

Mailing Address:

City:

State:

Zip Code:

E-mail Address:

Phone #: () - Fax #: () - Cell #: () -

51. If the owner of the property on which the proposed facility is to be located is not the registrant, then the registrant must submit a notarized statement (see **Addendum #1** attached to this application) signed by the **property owner**.

If not applicable (if the registrant is the property owner), check here ☐.

52. Publish a notice using **Addendum #2**. Provide a tear sheet and affidavit of publication and label as **Attachment 7**.



CERTIFICATION

53. Pursuant to 401 KAR 47:160, Section 6, a person with signature authority such as a sole proprietor, owner, partner, corporate officer, plant manager, LLC member, mayor, county judge executive or other authorized official must sign this certification statement.

NOTE: Consultants may not sign the following certification statement.

“I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for such violations.”

Name of Person Signing (type or print): _____

Title of Person Signing: _____

Date: - -

Signature per 401 KAR 47:160: _____

Subscribed and sworn to before me this _____ day of _____, Year 20 _____

Notary Public Signature: _____

State of _____ County of _____ My commission expires: _____



Applicant Disclosure Statement

The Applicant is the person, partnership, association, company, corporation, government agency, etc., which owns or operates the facility.

54. Applicant's complete name:

55. Applicant's mailing address:

56. State of Incorporation or Application:

57. City:

58. State:

59. Zip Code:

60. Contact Person:

61. Title:

62. Phone #: () -

63. Cell #: () -

64. Fax #: () -

65. E-Mail Address:

66. As defined by KRS 224.01-010(44), provide the names of all key personnel and their titles or positions. Provide this data as **Attachment 8** if additional pages are necessary.

A completed Key Personnel Disclosure Statement must be submitted for each individual listed as a Key Person. Sole proprietors and government agencies are not required to submit key personnel disclosure statements.

If not applicable, check here. ☐

#	Key Person	Title
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
11.		

67. Provide as **Attachment 9**, a description of the key person's experience in managing solid waste including any past or present permits or licenses held by the key person within the previous five (5) years.

If not applicable, check here. ☐

68. Submit a description of the registrant's experience in managing hazardous waste including any Provide as **Attachment 10**, a description of the key person's experience in managing hazardous waste including any past or present permits or licenses held by the key person within the previous five (5) years.

If not applicable, check here. ☐

69. Provide as **Attachment 11**, a description of all civil and administrative complaints against the key person for the violation of any state or federal environmental protection law that have resulted in a fine or penalty of more than one thousand dollars (\$1,000) within five (5) years before the date of the submission of this application.

Each description shall include the following: the style of the complaint, the case, file, or other identifying number, the identity of all parties named in the complaint, the forum in which the complaint was filed, the identity of each state or federal agency involved with or named in the complaint, the amount of the fine or penalty, whether the fine or penalty has been paid, the identity and description of each law or regulation violated or alleged to have been violated and upon which the fine or penalty is based; and state whether the fine was the result of settlement or agreed order, an administrative order, or a court judgment. If litigation is ongoing, describe any orders or judgments entered and describe the current status of the litigation.

If not applicable, check here. ☐

70. Provide as **Attachment 12**, a description of all civil and administrative complaints against the key person for the violation of any state or federal environmental protection law that allege an act or omission that constitutes a violation of a state or federal environmental protection law and that presented a substantial endangerment to the public health or the environment.

Each description shall include the following: the style of the complaint, the case, file, or other identifying number, the identities of each party to the complaint, the forum in which the complaint was brought, the identity of each state or federal agency involved with or named in the complaint, an explanation of the alleged act or omission, the identity and a description of the environmental protection law or regulation alleged to have been violated, an explanation of all corrective action measures performed to correct or mitigate the alleged violation, and a description of the alleged endangerment to public health or to the environment. State whether the issues raised in the complaint have been resolved and whether the resolution was the result of a settlement or agreement, an administrative order, or a court order of judgment. If litigation on the allegation is ongoing, describe any orders or judgments entered and describe the present status of the litigation.

If not applicable, check here. ☐

- 71.** Provide as **Attachment 13**, a description of all pending criminal complaints alleging the violation of any state or federal environmental protection law that have been filed against the key person within five (5) years before the date of submission of this application.

Each description shall include the following: the style of the case and the identifying case number, the date the complaint was filed, the forum in which the complaint is pending, the identity of the law or regulation allegedly violated and a narrative description of the law or regulation, whether the alleged violation is a misdemeanor or a felony, and all actions and pleadings which have occurred or have been filed in association with the complaint.

If not applicable, check here. ☐

- 72.** Provide as **Attachment 14**, a description of all judgments of criminal conviction entered against the key person within five (5) years before the date of submission of this application for the violation of any state or federal environmental protection law. Each description shall include the following: style, case number, forum in which the complaint was entered, date of judgment, sentence imposed, the identity and a description of each law the key person was convicted of violating, whether the conviction was the result of a plea agreement or a trial, and, if currently on appeal, the status of the appeal.

If not applicable, check here. ☐

- 73.** Provide as **Attachment 15**, a description of all judgments of criminal conviction of a felony under the laws of any state or the United States that are entered against the key person within five (5) years before the date of submission of this application.

Each description shall include the following: style, case number, forum in which the complaint was entered, date of judgment, sentence imposed, the identity and a description of each law the key person was convicted of violating, whether the conviction was the result of a plea agreement or a trial, and, if currently on appeal, the status of the appeal.

If not applicable, check here. ☐

- 74.** Provide as **Attachment 16**, a list of the names and addresses of all waste sites or facilities and solid waste management facilities in which the key person has a financial or equitable interest, or is an officer, director, or manager.

If not applicable, check here. ☐

- 75.** Provide as **Attachment 17**, a list of the names and addresses of all waste sites or facilities and solid waste management facilities in which the applicant or any of its key personnel has a financial or equitable interest, or is an officer, director, or manager.

If not applicable, check here. ☐

Key Personnel Disclosure Statement

All key personnel are required to submit the following information to the Cabinet.

Sole proprietors (a private owner) and government agencies are exempt.

76. Key Person (print):

77. Mailing Address:

78. City:

79. State:

80. Zip Code:

81. Phone #: () -

82. Fax #: () -

83. Cell #: () -

84. E-Mail Address:

85. What is the relationship between the applicant and key person?

See **KRS 224.010-010(44)**.

☐ Partner

☐ Shareholder

☐ Corporate Official

☐ LLC Member

☐ Other (describe):

86. Provide as **Attachment 18**, a description of the key person's experience in managing solid waste including any past or present permits or licenses held by the key person within the previous five (5) years.

If not applicable, check here. ☐

87. Provide as **Attachment 19**, a description of the key person's experience in managing hazardous waste including any past or present permits or licenses held by the key person within the previous five (5) years.

If not applicable, check here. ☐

88. Provide as **Attachment 20**, a description of all civil and administrative complaints against the key person for the violation of any state or federal environmental protection law that have resulted in a fine or penalty of more than one thousand dollars (\$1,000) within five (5) years before the date of the submission of this application.



Each description shall include the following: the style of the complaint, the case, file, or other identifying number, the identity of all parties named in the complaint, the forum in which the complaint was filed, the identity of each state or federal agency involved with or named in the complaint, the amount of the fine or penalty, whether the fine or penalty has been paid, the identity and description of each law or regulation violated or alleged to have been violated and upon which the fine or penalty is based; and state whether the fine was the result of settlement or agreed order, an administrative order, or a court judgment. If litigation is ongoing, describe any orders or judgments entered and describe the current status of the litigation.

If not applicable, check here. ☐

- 89.** Provide as **Attachment 21**, a description of all civil and administrative complaints against the key person for the violation of any state or federal environmental protection law that allege an act or omission that constitutes a violation of a state or federal environmental protection law and that presented a substantial endangerment to the public health or the environment.

Each description shall include the following: the style of the complaint, the case, file, or other identifying number, the identities of each party to the complaint, the forum in which the complaint was brought, the identity of each state or federal agency involved with or named in the complaint, an explanation of the alleged act or omission, the identity and a description of the environmental protection law or regulation alleged to have been violated, an explanation of all corrective action measures performed to correct or mitigate the alleged violation, and a description of the alleged endangerment to public health or to the environment. State whether the issues raised in the complaint have been resolved and whether the resolution was the result of a settlement or agreement, an administrative order, or a court order of judgment. If litigation on the allegation is ongoing, describe any orders or judgments entered and describe the present status of the litigation.

If not applicable, check here. ☐

- 90.** Provide as **Attachment 22**, a description of all pending criminal complaints alleging the violation of any state or federal environmental protection law that have been filed against the key person within five (5) years before the date of submission of this application.

Each description shall include the following: the style of the case and the identifying case number, the date the complaint was filed, the forum in which the complaint is pending, the identity of the law or regulation allegedly violated and a narrative description of the law or regulation, whether the alleged violation is a misdemeanor or a felony, and all actions and pleadings which have occurred or have been filed in association with the complaint.

If not applicable, check here. ☐

- 91.** Provide as **Attachment 23**, a description of all judgments of criminal conviction entered against the key person within five (5) years before the date of submission of this application for the violation of any state or federal environmental protection law. Each description shall include the following: style, case number, forum in which the complaint was entered, date of judgment, sentence imposed, the identity and a description of each law the key person was convicted of violating, whether the conviction was the result of a plea agreement or a trial, and, if currently on appeal, the status of the appeal.

If not applicable, check here. ☐

- 92.** Provide as **Attachment 24**, a description of all judgments of criminal conviction of a felony under the laws of any state or the United States that are entered against the key person within five (5) years before the date of submission of this application.

Each description shall include the following: style, case number, forum in which the complaint was entered, date of judgment, sentence imposed, the identity and a description of each law the key person was convicted of violating, whether the conviction was the result of a plea agreement or a trial, and, if currently on appeal, the status of the appeal.

If not applicable, check here. ☐

- 93.** Provide as **Attachment 25**, a list of the names and addresses of all waste sites or facilities and solid waste management facilities in which the key person has a financial or equitable interest, or is an officer, director, or manager.

If not applicable, check here. ☐

Certification

95. Pursuant to 401 KAR 47:160, Section 6(4), the Key Person must sign this item.

“I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for such violations.”

Name of Key Person (type or print):

Title of Key Person (type or print):

Signature of Key Person: _____ Date: / /

Subscribed and sworn to before me this _____ day of _____, Year 20____

Notary Public Signature _____

State of _____ County of _____ My commission expires _____

Addendum #1**Owner's Acknowledgement of Liability**

1. Property Owner
2. Mailing Address
3. City
4. State
5. Zip
6. Contact Person
7. Title
8. Phone #: () -
9. Fax #: () -
10. Cell #: () -
11. E-Mail Address:

Certification

"I am aware of the facility that has been proposed for my property; and, I have been given a copy of the application outlining this project. I hereby give permission for the registrant to proceed with this project. I understand that I am fully liable if the registrant fails to comply with the statutory and regulatory requirements for composting facilities, including any enforcement actions by the Energy and Environment Cabinet."

Signature _____

Subscribed and sworn to before me this _____ day of _____, 20____.

Notary Public Signature _____

State of _____ County of _____ My commission expires _____.

Addendum #2**Public Notice for a Registered Permit-By-Rule Application**

(facility owner or operator) proposes to submit an application for a registered permit-by-rule (transfer station, convenience center or recycling center) facility to the Energy and Environment Cabinet, Division of Waste Management, pursuant to **401 KAR 47:110**. The registration shall become effective five (5) business days after the Cabinet receives it unless the Cabinet denies the registration within that time. The proposed facility will: (description of business conducted)

The proposed facility will be located at the following address: (facility name)
(facility address) (city, state, zip)

For questions regarding this proposed facility, contact: (facility owner or operator) at
() - (phone number including area code).

Questions concerning the application process for registered permits-by-rule can be directed to the:

Energy and Environment Cabinet
Division of Waste Management
200 Fair Oaks Lane, Frankfort, KY 40601
(502) 564-6716.

